



QUALITY ASSURANCE A U D I T

Adobe Mountain School

**Conducted the week of
08-20-2007**

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OVERVIEW

An audit of Adobe Mountain School was conducted the week of 08/20/2007.

Arizona Department of Juvenile Corrections (ADJC) policies and procedures and best practices were used as standards. The audit is organized in two distinct parts.

Part I-Housing Unit Audits

Each unit was audited for current staffing levels, log book documentation, appropriate shift change documentation, headcount, documented welfare checks, sharps accountability, timely bathroom access and exclusion.

Part II-Facility and Program Area Audits

In addition to each unit being audited, the facility was audited for Separation Review, Medical Services, Youth Grievances, Behavioral Health, Physical Plant Inspection, Youth Phone and Mail, Special Education, Suicide Prevention, Continuous Case Plan, CAPFA Reviews and (MDT) Multi-disciplinary Team Meetings.

Summary of Non-Compliance

The audit revealed overall compliance to ADJC policies and procedures with the following exceptions:

Shift Changes-Transitions

Procedure 4064.01

Unit -Challenge

- 2 of 9 documented transition times exceeded 15 minutes. Welfare checks were documented.
- 2 of 16 documented shift changes exceeded 15 minutes.

Unit-Crossroads

- 2 of 8 documented transition times exceeded 15 minutes. Welfare checks were documented at 28 minutes and 21 minutes.
- 3 of 12 documented shift changes reviewed exceeded 15 minutes.
- 08/09/07 3rd shift - 17 minutes with no welfare check.
- 08/11/07 2nd shift - 25 minutes, welfare check was completed.
- 08/12/07- 2nd shift- 25 minutes, welfare check was completed.

Unit -Enterprise

- 4 of 6 documented transition times exceeded 15 minutes.
- Welfare checks were documented. In two cases, there were 10x24s at the time of transition.
- 4 of 12 documented shift changes exceeded 15 minutes.
- 08/9/07 3rd shift - 16 minutes.
- 08/10/07 1st shift - 23 minutes, welfare check not documented.
- 08/11/07 2nd shift - 24 minutes, welfare check was completed.
- 08/12/07 2nd shift - 16 minutes, welfare check was conducted in the middle of the shift change.

Unit- Freedom

- 3 of the 9 documented transition times exceeded 15 minutes. Welfare checks were documented during 2 of these instances. 1 transition time was 20 minutes with no check documented.
- 2 of 12 documented shift changes exceeded 15 minutes.
- 08/11/07 - 2nd shift, 30 minutes with one welfare check completed.
- 08/12/07 - 2nd shift, 40 minutes. Welfare check & restroom breaks were completed during this shift change.

Unit-January

- 8 of 11 documented transition times exceeded 15 minutes.
- 08/9/07- 1st shift, 24 minutes without checks,
- 1120-1145- 25 minutes, check were completed,
- 1633-1743- 70 minutes with checks completed.
- 08/10/07- 1st shift-73 minutes with checks completed.
- 1115-1145- 30 minutes with checks completed.
- 1715-1747- 32 minutes with checks completed.
- 08/11/07- 1145-1205- 20 minutes with checks completed.

- 08/11/07 -1705-1725- 20 minutes without any check completed.
- 5 of 12 documented shift changes exceeded 15 minutes.
- 8/9/07-1st shift- 18 minutes with welfare check completed.
- 8/9/07-3rd shift- 17 minutes with no check completed.
- 8/10/07- 1st shift- 73 minutes, checks completed.
- 8/10/07-3rd shift- 28 minutes no check completed.
- 8/11/07- 3rd shift – 19 minutes no check completed.

Unit-Journey

- 4 of 12 documented shift changes exceeded 15 minutes.
- 8/9/07- 1st shift- 25 minutes, welfare check was completed.
- 8/10/07- 1st shift- 18 minutes- no check was documented.
- 8/11/07- 1st shift- 18 minutes, no check was documented.
- 8/11/07- 2nd shift- 20 minutes, welfare check was completed.

Unit-Kachina

- 1 of 12 documented transition times exceeded 15 minutes.
- 8/9/07- 28 minutes after lunch, no welfare check was documented.

Unit Nova

- 5 of 11 documented transition times exceeded 15 minutes.
- Welfare checks were documented.
- 5 of 12 documented shift changes exceeded 15 minutes.
- 8/09/07- 1st shift- 30 minutes, welfare checks completed.
- 8/10/07- 1st shift- 21 minutes- welfare check completed.
- 8/11/07- 1st shift- 42 minutes, welfare checks were completed.
- 8/11/07- 2nd shift- 20 minutes, no welfare check was documented.
- 08/12/07-1st shift 52 minutes, welfare checks completed.

Unit-Recovery

- 3 of 10 documented transition times exceeded 15 minutes.
- 1 of the 3 transition times had no welfare checks documented.
- 08/11/07 1st shift- 30 minutes.

Unit- Triumph

- 1 of 12 documented transition times exceeded 15 minutes.
- Welfare checks were documented.

Unit-Voyager

- 8 of 12 documented transition times exceeded 15 minutes.
- 08/9/07- breakfast served on the unit- youth in rooms 20 minutes, welfare check completed.
- Lunch served on the unit- youth in rooms 57 minutes, 2 welfare checks were missed during this time period.
- Dinner served on unit, youth in rooms 40 minutes, welfare checks were completed correctly.
- 08/10/07 breakfast served on unit- youth down 50 minutes. Checks were completed correctly.
- Lunch -youth down 60 minutes. Welfare checks completed,
- Dinner- less than 15 minutes.
- 08/11/07- Breakfast on unit - youth down 70 minutes. Welfare checks

- were completed correctly.
- 08/12/07- Breakfast on unit - youth down 29 minutes. Welfare checks completed.
- Youth down 17 minutes after lunch, check completed.
- 7 of 12 documented shift changes exceeded 15 minutes.
- 08/9/07 - 1st shift-35 minutes- welfare checks completed.
- 08/10/07 - 1st shift- 33 minutes- welfare checks completed.
- 08/11/07 - 2nd shift- 18 minutes- check completed.
- 08/11/07 - 3rd shift 17 minutes between checks.
- 08/12/07- 2nd shift- 25 minutes- welfare check completed.
- 08/12/07 -3rd shift 17 minutes between welfare checks.

Unit-Separation

- There was no documentation in separation security log 08/09/07 - 3rd shift between 0400-0600am. There were no youth in separation, however, no documented radio check or check was completed by 3rd shift at this time period.

Head Count *(Documentation in Unit Logbook)*

Procedure 4002.02

Facility Headcount

- 8/20/07- Facility Headcount took four attempts and 105 minutes to complete.

Unit-Challenge

- 08/09/07 headcount sheet was not totaled properly.
- 08/10/07 headcount sheet was missing entirely.
- 1 of 4 youth movements, logbook and headcount sheet did not match.

Unit-Crossroads

- 1 of 4 youth movements, logbook and headcount sheet did not match.

Unit-Enterprise

- 2 of 12 shift change headcounts were not documented in the unit logbook.

Unit-January

- 2 of 12 shift changes headcounts were not documented in log book on 8/10/07.

Unit-Journey

- 1 of 12 shift change headcounts were not documented in the unit logbook.

Unit-Recovery

- 3 of 12 shift change headcounts were not documented in the unit logbook.

Unit-Separation

- Separation counts change frequently throughout the day. Counts are documented at times other than shift change in the unit logbook. Separation lists the rooms occupied but not headcount numbers in most cases. Headcounts can be assumed but a number is not reported.

Hourly Headcount Sheets

Procedure 4050.02

Unit –Enterprise

- 1 of 3 headcount sheets were not filled out and totaled at the bottom.
- 1 of 4 documented youth movements did not match (logbook vs. headcount sheet).

Unit-Freedom

- 2 of 4 headcounts were incomplete.
- 8/10/07- headcount sheet was missing information.
- 8/11/07- headcount sheet not filled out for 2000 and 2100 hours.
- 2 of 4 youth movements did not match (logbook vs. headcount sheet).
- 8/9/07 and 08/11/07- youth movements did not have entries in the unit logbook but were on the headcount sheet.

Unit-January

- 2 of 4 headcounts were incomplete.
- 8/09/07 - headcount sheet was not totaled properly (2 pm to 6 pm).
- 8/10/07 - 1st shift did not total the headcount at all.

Unit-Journey

- 2 of 4 headcounts were incomplete.
- 8/10/07 - The 9 pm hour was not filled out or totaled at the bottom of the sheet.
- 8/12/07- 3rd shift did not fill out the headcount sheet.

Unit- Nova

- 2 of 4 headcounts were incomplete.
- 8/09/07 - The bottom of the headcount sheet was not totaled properly.
- 8/10/07 -The headcount sheet was missing entirely.
- 2 of 4 documented youth movements did not match (logbook vs. headcount sheet).
- 8/09/07- 1 youth going to the health unit was documented on the headcount sheet but not in the logbook.
- 8/11/07- 8 youth went to visitation, documented on the headcount sheet but was not documented in the logbook.

Unit -Recovery

- 2 of 4 headcounts were incomplete.
- Did not tally the total number of youth at the bottom of the page.

- 3 of 4 documented youth movements did not match (logbook vs. headcount sheet). (08/9, 08/10, 08/12).

Unit-Triumph

- 1 of 4 documented youth movements did not match (logbook vs. headcount sheet).

Unit-Voyager

- 1 of 4 documented youth movements did not match (logbook vs. headcount sheet).

Welfare Checks

Procedure 4064.01

Unit-Enterprise

- 8/10/07- 1st shift- 23 minute shift change, welfare check not documented.

Unit-Freedom

- 8/12/07- 20 minute transition time, welfare check not documented.

Unit-January

- Welfare checks missed during transitions.
- 08/9/07- 25 minutes, welfare check not documented.
- 08/11/07-20 minutes, welfare check not documented. Welfare checks not documented during shift change.
- 3 shift changes on 8/9, 8/10, 8/11 (all 3rd shifts).

Unit-Kachina

- 8/9/07- welfare check missed during transition after lunch.

Unit- Nova

- 8/10/07- 20 minutes, welfare check not documented.

Unit-Recovery

- 08/11/07- 30 minutes, welfare check not documented.

Unit-Triumph

- 08/09/07- 19 minutes, welfare check not documented.

Unit-Voyager

- 3 welfare checks exceeded 15 minutes during shift change on 3rd shift on 08/9, 08/11, 08/12.
- 2 welfare checks exceeded 15 minutes during lunch transition on 08/9/07 (1103-1200 hrs).

Unit-Separation

- Welfare check not documented on 08/12/07, 3rd shift (42 minutes).

Pat Down Searches

Procedure 4052.01

Unit-Freedom

- 2nd shift- Search did not include inside of youth's legs. Shoes were not searched randomly.

Unit-Voyager

- Pat searches not completed at all on youth returning from school.

Unit-Journey

- Returning from education on 1st shift, 2nd staff did not supervise youth outside during pat downs (went inside unit).
- Search did not include youth's hands, groin area or mouth..
- Youth concealed a rock (about the size of a very large egg) in his hand, then asked the staff why he didn't find it.

Sharps Accountability at Shift Change

Procedure 4002.02

Unit-Crossroads

- 1 of 12 shifts did not document accounting for sharps.

Unit-Enterprise

- 1 of 12 shifts did not document accounting for sharps.

Unit-Kachina

- 3 of 12 shifts did not document accounting for sharps.

Unit-Recovery

- 3 of 12 shifts did not document accounting for sharps.

Communication in Logbook

Unit-Challenge

- 6 of 12 shifts did not have communication for next shift in the logbook. (4 of 6 was on 3rd shift).

Unit-Crossroads

- 11 of 12 shifts did not have shift summaries documented in the logbook.

Unit-Kachina

- 4 of 12 did not have shift summaries documented in the logbook.

- (All 4 were on 3rd shift.)

Unit-Triumph

- 7 of 12 shifts did not have shift summaries documented in the logbook.
- (3 were on 2nd and 4 were on 3rd shifts).

Unit- Voyager

- 8 of 12 shifts did not have shift summaries documented in the logbook.

Unit-Separation

- 7 of the 12 shifts did not have shift summaries documented in the logbook.

Exclusion

Procedure 4064.01

Unit –Enterprise

- 1 youth exclusion was over 60 minutes. The time sheet and logbook did not match.

Muti-Disciplinary Teams

Procedure 4002.01

All MTDs failed to meet the attendance requirements. Reference Part II of Audit for unit breakdown.

Unit Inspection Binder

Procedure 4002.01

(All units-4 days reviewed from 8/9/07-8/12/07)

Unit – Challenge

- 2 of the 12 shifts did not use the proper daily forms.
- Inspections on the daily form for 8/10/07 did not match from shift to shift.
- No work order that showed that an item had been repaired.
- 8/12/07- daily inspection missing for 2nd and 3rd shifts.

Unit-Enterprise

- 3 of the 12 shifts did not use the proper daily forms.
- Weekly inspection missing for 8/9 – 8/12/07.
- No daily inspections on 8/12/07.

Unit-Freedom

- 2 of the 12 shifts did not use the proper daily forms.
- No daily inspection on 8/11/07 3rd shift.

Unit-January

- 8/1/07- daily inspection for 2nd shift was not signed.

Unit-Journey

- All forms were correctly filled out. Work orders were in binder, but not attached to the corresponding daily inspection sheet.

Unit-Recovery

- 8/11- 3rd shift top portion of daily inspection was not completed.

Unit-Triumph

- 2 of the 12 shifts did not use the proper daily forms.
- 2nd shift daily inspection was not completed on 8/9 and 8/10.
- 1st shift inspections not completed on 8/12.

Unit-Voyager

- 1 of the 12 shifts did not complete the daily forms properly.
- 3rd shift on 8/10/07 did not complete the top section of the daily inspection form.

Unit-Separation

- 1 of the 12 shifts missing daily forms.
- 8/10/07- missing 2nd shift daily inspection.
- 8/9/07- 2nd shift no signature on daily inspection form.

Third Shift Timely Bathroom Access

Procedure 4002.07

Security Review

Freedom Unit

- Bathroom request call at 2207. Security arrived at 2311. (64 minutes). Unit logs do not match Security logs.

Recovery Unit

- Bathroom request call at 2202. Security arrived at 2239. (37 minutes). Unit logs do not match Security logs.

January Unit

- Bathroom request call at 2159. Security arrived at 2220. (21 minutes). Unit logs do not match Security logs.

Enterprise Unit

- Documentation of youth requests for a bathroom call in the Daily Communication Log Book is inconsistent.

Comment

- Not all Living Units document within their Daily Communication Log Book when youth request a bathroom call or when Security arrives.

Suicide Prevention

Procedure 4250.02 and 4250.02A

911 packs

Unit- Crossroads

- YPO was not wearing emergency response pack.

Unit-Kachina

- PSA was not wearing emergency response pack. He stated he was late for an SRB and would get it later.

MDT Log Book Review

Kachina-Unit

Could not locate MDT staffing paperwork or Mental Health File for 1 of 7 reviewed documents.

Recovery Unit

Could not locate MDT staffing paperwork or Mental Health File for 2 of the 7 reviewed documents.

Physical Plant

Facility Grounds:

- Broken equipment (plastic containers, broom stick, table legs) found behind Freedom and Recovery Units.
- A pile of broken equipment and miscellaneous items found near the property storage structure and the warehouse. Issue was immediately reported to the facility administration.
- Two golf carts had the pad lock closed and the hasp that has been installed to prevent unauthorized access left open.
- Many dangerous instruments and materials (tools, maintenance equipment) are being stored in the maintenance work yard behind (to the north of) the warehouse. This area is not secure. The double gate on the east entry to this area is locked with a chain and pad lock and opens wide enough with the chain locked that a youth can squeeze through. The top of the fence also has gaps in the razor wire.
- Run-off water was observed draining from the roof of the administration building behind the business office.

Kitchen Inspections # 2502.01

- During the audit visit, the hood and duct collection containers were full of liquid.
- The fire extinguisher in the office was on the floor behind the door.

- Food service staff had some difficulty locating the MSDS book which was recently updated.

Housing Unit Inspections # 4002.01

- The housing units are completing the inspection forms but are missing important points of inspection.
- MSDS Books, although present in each housing unit, were not easily accessible.
- Graffiti was noted in common areas and/or youth room windows in every housing unit.
- Staff and supervisors in several units state that they have been discouraged from completing work orders to have graffiti marked windows replaced because maintenance does not have enough Plexiglas to replace all of the tagged windows.
- Many housing units had daily inspections noting “SA” in the “laundry room clean / lint free” section however, inspectors noted lint build-up behind the dryers of units Journey, Challenge, Nova, Freedom and Separation.

School – Esperanza

- Graffiti was noted in the bathrooms in the Esperanza building.
- The bathrooms on the west and north sides were also dirty.
- The south bathroom in the east hall of Esperanza had feces in the urinal.
- In the bathroom at the north end of the building a hole (approximately 4 inches in diameter) was noted in the wall of the restroom. A stapler was found in the hole of the wall.
- Several broken chairs were noted in classroom #11.
- Although many staff were present during class exchanges youth were noted wandering back and forth and engaging in gang hand shakes with other youth as they passed in the halls and outside of the building.

Fire Drills 4007.02

- Security personnel were unable to locate record of fire drills for review during the audit. To ensure compliance with state codes all staff should know how to conduct an evacuation drill (A.R.S.41-15-1).

Medical and Behavioral Comprehensive Review

Screening and Assessment

- Question #13 - Transfer Summary is completed by the Qualified Mental Health Professional (QMHP) and forwarded to the receiving QMHP within 24 hours of a juvenile’s transport.

This area received a 70% rating

Facility Mental Health Services

- Question #6 - File Review Forms are completed by the receiving Qualified Mental Health Professionals (QMHP) at the new unit within 14 days of the juvenile's arrival.

This area received a 55% rating

Mental Health Units

- Question #1 – A formal transfer process is not established.
- Questions #6-#8 – A Mental Health Program Manual is not in place. Manual training and policy review are not conducted.

Suicide Prevention

- Question #7 – Suicide Precautionary Status Red Folders did not have documentation consistent with procedure.
- Question #21 - Continuous Case Plan (CCP) from the Suicide Prevention Status (SPS) List has a problem listed related to suicidality and/or self-harm.

This area received a 66.7% rating

- Question #25 – Education staff not present at Critical Incident Debriefing.

Individualized Behavior Plans

IBPs were reviewed to ensure compliance with the noted policy. Interviews with YPS, YPO III, YCOs, PSA IIs, YRO, Psychologist, and Assistant Superintendent were conducted.

Observation

- 3 of 6 IBPs were not documented in the MDT notes as being address during their staffing.
- IBPs were difficult to locate. YCOs did not readily know where they were located. YPO III was asked for the IBP. He could not locate it either. PSA II had the IBP in a binder in her office.

